

FY2007 Exhibit 300 Preparation Checklist

Introduction

The purpose of this checklist is to serve as a quality assurance document for project managers and Exhibit 300 authors as they develop their Exh. 300s. It is derived from past experience by OCIO and Metier staff when reviewing and scoring Exh. 300s. While all applicable parts of the Exh. 300 must be completed, this document is designed to highlight some of the areas that have been problems in the past.

In the past OMB has tended to change the Exh. 300 in an unpredictable manner. We plan to update this document if/when OMB changes the Exh. 300.

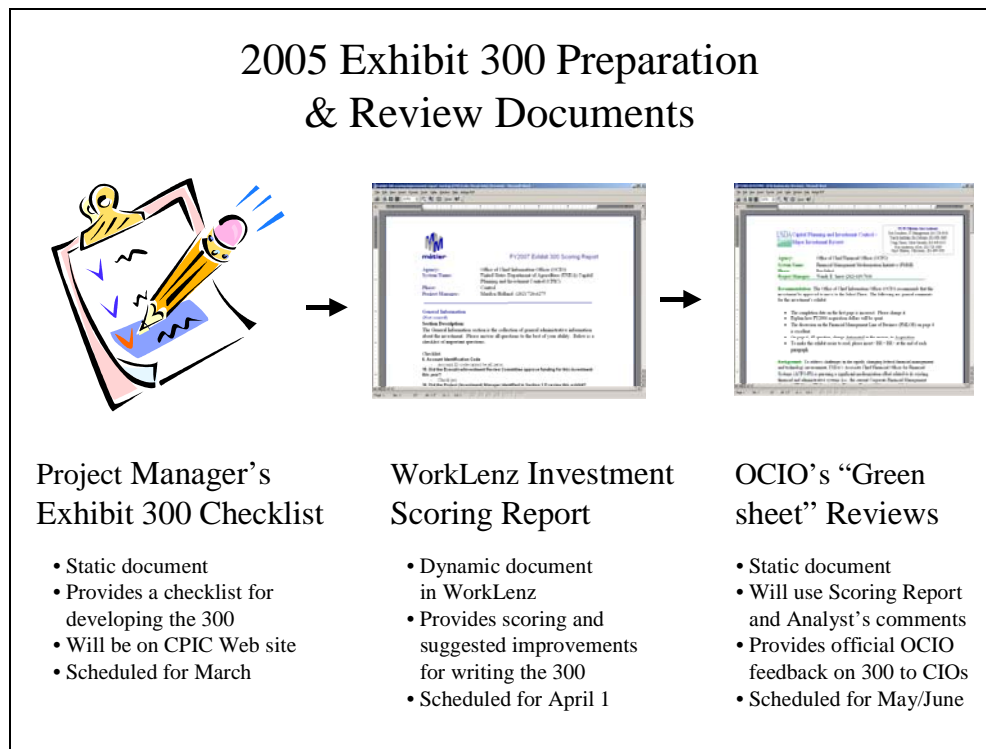


Exhibit 300 Sections

General Information

Section Description: This section is the collection of general administrative information about the investment. Please answer all questions to the best of your ability.

6. Account Identification Code

- Account ID code cannot be all zeros.

15. Did the Executive/Investment Review Committee approve funding for this investment this year?

- Check yes.

18. Did the Project (Investment) Manager identified in Section 1.D review this exhibit?

- The project manager must review the 300 prior to submission to OCIO.

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23. f. Was this investment included in a Performance Assessment Rating Tool (PART) Review?

- See your agency budget office to determine whether the program related to your investment has been "PARTed" (i.e., subject to OMB's Program Assessment Rating Tool)

24. Summary Of Spending For Project (Investment) Stages

- For ongoing projects, you must show an amount in the funding table for the BY. Amounts should cross walk with totals identified in the AA section. Government FTE costs should be included in the overall funding table amounts.

I. A. 1. Provide a brief description of this investment and its status through your capital planning and investment control (CPIC) or capital programming "control" review for the current cycle.

- Include in the description the date or planned date of the E-Board review for the year. This generally occurs in August of the calendar year.

President's Management Agenda (PMA)

Section Description: The President's Management Agenda was created to reduce costs and increase efficiency within the federal government. In general, to demonstrate compliance with the PMA, investments should demonstrate collaboration with other *federal* agencies, and the implementation of eGov strategies, which employ commercial business practices. To score successfully, investments in the steady-state phase should demonstrate that they have recently completed an eGov strategy review.

Improvements:

For question I. B. 1.:

- Specifically identify the USDA strategic goals and objectives to which the investment is linked.
- The strategic goals and objectives can be found in the USDA's Strategic Plan (see <http://www.usda.gov/ocfo/usdasp/usdasp.htm> for more info).

For question I. B. 2.:

- Explicitly list the strategic goals from the President's Management Agenda with which the investment is aligned.
- Identify in detail how your investment is aligned with the listed strategic goals.
- If a Presidential initiative (PI) or Line of Business (LOB) initiative exists that is related to this 300, explain how this project is working with the PI/LOB.

For question I. B. 3.:

- Describe, in detail, how this investment will reduce costs to existing investments or will improve efficiencies in the government. Specifically, focus on the resulting cost and efficiency gains provided by this investment.

For question I. B. 7.:

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- Highlight this investment's collaboration with other agencies, industries or governments. If collaboration is not currently underway, include the strategy and planning information for future collaboration.

Acquisition Strategy (AS)

Section Description: This section considers all of the contracts employed by the investment. An investment's acquisition strategy must diffuse all risk that may be assumed by the federal government and ensure that all tools and products are compliant with government standards.

Improvements:

For question I. G. 1. :

- In order to reduce risk to the federal government, multiple contracts are preferred to a single contract.

For question I. G. I. A.:

- Only performance-based or fixed-price contracts should be used. An investment will receive a low score in this section unless there is evidence of these types of contracts.

For question I. G. I. B.:

- Only performance-based or fixed-price contracts should be used. An investment will receive a low score in this section unless there is evidence of these types of contracts.

For question I. G. 2. :

- If contracts other than performance-based or firm-fixed price contracts are used, the risk that the government will assume needs to be explained. In addition, sufficient mitigation plans need to be detailed.
- Address risks identified in the RM section that cannot be mitigated in some way, causing USDA to assume these risks.

For question I. G. 4. :

- The competition process for each of the contracts listed needs to be detailed. If a competition process is not used, a full score in this section is not possible.

For question I. G. 7.:

- In order to be awarded full points on this section, all systems used need to demonstrate Section 508 compliance.

Program Management (PM)

Section Description: In accordance with the OMB policy, investments should demonstrate the use of standard project management practices. These practices are demonstrated throughout the Exhibit 300, not just in this specific section. An investment that scores poorly overall will not score well in PM.

Improvements:

For question I. D. 1. b.:

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- OMB gives higher scores if the Project Manager is PMP-certified. Include all qualifications that indicate PM training or certification. Include the name and qualifications of the USDA (and, if applicable) contract PM for this investment.
- Show the level (i.e., 1, 2 or 3) that this project has been designated.

For question I. D. 3. a.:

- List the skill set (not the names) of the integrated project team (IPT) members. Include program/business knowledge, and (as applicable) enterprise architecture, data management, information management, budget, financial management, acquisition, IT security, and telecommunications.

Enterprise Architecture (EA)

Section Description: This section allows the investment to show its alignment with the Federal Enterprise Architecture (FEA), including all the reference models (BRM, PRM, SRM and TRM). This is accomplished by showing the aspects of the USDA Enterprise Architecture as well as the Capital Planning and Investment Control process.

Improvements:

For question II. A. 1. A.:

- If the investment is not identified in the USDA Enterprise Architecture, a full score in EA is not possible.
- If the investment is identified in the USDA Enterprise Architecture, describe its role.

For question II. A. 2. E.:

- Explain the peer review process.
- Explain the ability for the public to request corrections.
- Explain the internal make-up of the review committee for correction requests.
- Explain the appeal process.
- Describe the Web site where the public can review correction requests and the disposition of these requests. Provide the URL.

For question II. A. 2. F.:

- Explain how the agency records management for this project conforms to the responsibilities outlined in the Departmental Policy, DR 3080-001 – Records Management
- Describe the basic requirements related to the creation, maintenance, documentation, and disposition of electronic records, including all data files, databases, and text information in the information system. Include the records disposition control number for both the business records created by the system and the associated information system used to process the business information.

For question II. A. 3. A. (table):

- At least one row in this table needs to be completely filled out in order to show the investment's alignment with the FEA Service Reference Model.

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For question II. A. 3. B.:

- All the components of the investment need to be included in the FEA Technical Reference Model. These need to be detailed in the Exhibit 300.
- If the answer is yes, provide an explanation of what items are included in the Reference Model as they relate to Web-based technologies.
- If no, explain why they are not included in the Reference Model.

For question II. A. 3. B. (table):

- At least one row in this table needs to be completely filled out in order to show the investment's alignment with the FEA Technical Reference Model.

For question II. A. 3. D.:

- Explain how the project is using the Department's AgLearn service, eAuthentication service, or Enterprise Shared Services and or other enterprise or Government-wide eGovernment applications.

Alternatives Analysis (AA)

Section Description: This section is intended to demonstrate that multiple alternatives to the status quo were considered for the investment. These alternatives are used to select the best plan of action to complete the goals of an investment. Costs and risks are identified for a number of methods to complete the project. These alternatives are continually addressed throughout the life cycle of the project. The quality of this section affects scoring for PM and LC sections as well.

Improvements:

For question I. E. 1. A. (table):

- Three viable alternatives need to be addressed.
- From OMB's perspective, "status quo" (i.e., a current implementation) is not a viable alternative.
- The alternatives need to be clearly defined and detailed, focusing on the benefits incurred through each alternative.

For question I. E. 2. (table):

- For each of the three alternatives, a number of elements need to be addressed. Risk items, acquisition costs and personnel are among the items that should be included as elements.
- The costs need to be listed for each element for all three alternatives. Additionally, the totals need to be calculated.

For question I. E. 4. b. (table):

- For the alternative selected, financial calculations such as net present value (NPV) and return on investment (ROI) need to be provided. In addition, other costs are necessary.

For question I. E. 5.:

- The alternatives analysis should be no more than five (5) years old. If the alternatives analysis is older, a new alternatives analysis needs to be conducted. A recent eGov review can serve as a form of alternatives analysis.

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Risk Management (RM)

Section Description: This section addresses risks that apply to all investments, including the probability of each risk occurring and the strategy for mitigation. From OMB's perspective, if a strong risk management plan exists, there is a high likelihood that the project will succeed.

Improvements:

For question 1.F. (table):

- All 19 risk categories need to be addressed.
- A proportional mitigation plan needs to be identified for each risk that is identified.
- If a risk has been mitigated, it should still be listed with the corresponding mitigation plan.
- Where applicable, the "Current Status" for each risk element should be shown.

Performance Goals (PG)

Section Description: The Performance Goals section of the Exhibit 300 is intended to measure the progress toward improving the customer's deliverables. These investment performance goals must be aligned with the USDA strategic goals and mission.

Improvements:

For question I.C. (table 1):

- Performance goals should exist for multiple fiscal years in both the present, past and future.
- The strategic goals listed in the PMA section need to be the same listed in the Performance Goals table.
- Performance improvement goals and results need to be measurable.
- Performance metrics need to be numerical.
- Actual results need to exist for past years for both performance improvement goals and performance metrics.

For question I.C. (table 2):

- Multiple fiscal years should be listed for each measurement area.
- All baselines, planned improvements and results should all be measurable quantities.

Security and Privacy (SE)

Section Description: This section requires the investment to demonstrate how it is aligned with USDA security policies. The investment must meet the minimum security requirements for the USDA and detail the security policies in place at the investment level. A score of 4 or 5 in this section is essential in order for the overall Exhibit 300 to pass.

Improvements:

For question II. B. 2. A.:

- Outline the security plan used by the investment, specifically how it complies with NIST guidelines.

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- The security plan should not be more than 3 years old.

For question II. B. 2. B.:

- The investment needs to have undergone Certification and Accreditation (C&A).
- The C&A process needs to be repeated every three years for the C&A to be valid.
- Interim ability to operate is not sufficient. If the investment has not undergone valid C&A, it will not receive a score higher than 3.

For question II. B. 2. C :

- Each of the management, operational and technical security controls are required to have been tested. In order to score full points on this, briefly outline how each was tested and identify the dates on which testing occurred.

For question II. B. 2. D :

- All system users are required to have been fully trained in security measures each year. Detail the training plan that is used to train system users.

For question II. B. 2. E :

- Describe in detail the incident handling processes in place for the system. If incidents are not reported to DHS FedCIRC, explain the reasons for this and to whom they are reported.

For question II. B. 3. :

- Describe how any information collected from individuals will be used.
- Describe how your project will comply with the standards set forth in the Children's Online Privacy Protection Act of 1998 with respect to the collection of personal information at Web sites directed at children.
- Describe how visitors are informed that no agency/mission area will collect personal information about individuals when they visit our websites unless the visitor chooses to provide that information.
- Describe the type of privacy records that are on the Web site, or if none, explain what type of data is available.

For question II. B. 4. :

- Explain the System of Records Notice and how it explains the protections. Provide the Title for the System of Records.
- Describe how the system complies with the USDA procedures manual DM3515-001 covering PA data.
- As required, provide applicable citations from sections of the Privacy Act regulations.

Performance-Based Management System (PB)

Section Description: This section focuses on the earned value performance data provided. Earned value management (EVM) is an empirical method for tracking the health of a project. In addition, EVM can be used to incrementally track the life-cycle costs of the project.

Improvements:

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For question I. H. 1. :

- The performance-based management system in place needs to accurately measure earned value management. The process needs to be fully detailed and be ANSI/EIA Standard 748-A compliant. If the investment does not currently have a performance-based management system in place, detail the system that is being developed.

For question I. H. 2. (table):

- Many fiscal years need to be listed for both the past present and future.
- Milestones need to be listed on a quarterly basis for each fiscal year.

For question I. H. 4. B. (table):

- This table is the culmination of the earned-value results. All cells for this table need to be completed.
- The cost and schedule variances should both be less than ten (10) percent. If they are higher, a full score on this section is not possible.

For question I. H. 4. A. b. (table) :

- This table compares the estimated milestones to the actual results of those milestones. All milestones that have costs should have all fields completed.
- OMB scores will be lowered if OMB has not approved changes to the original baseline.
- The milestones in this table should match the milestones in table I. H. 2. b.
- The calculations that are presented in the I. H. 4. B. 4. B table should match the data from this table.

Lifecycle Costs (LC)

Section Description: This section measures the detail and quality of the budget formulation for the entirety of the investment. The score is calculated from a number of sections to ensure the budget is properly presented. These include risk adjustments section, contract requirements section, alternatives analysis section, and the quantitative and qualitative indices from the PB section.

Improvements:

For question I. E. 4. B. (table):

- For each fiscal year listed, a number of financial life-cycle data needs to be listed including net present value, return on investment, and service costs.
- For more information on financial summary data, review the 19 Exhibit 43 life cycle cost categories.

For question I. F. (table):

- For life-cycle costs, all 19 Exhibit 43 life cycle cost categories need to be addressed.
- A proportional mitigation plan needs to be identified for each risk that is identified.
- If a risk has been mitigated, it should still be listed with the corresponding mitigation plan.